

Schedule No: 86-86

TO: DEPARTMENT OF ARCHIVES AND HISTORY - SCHEDULING
AND
FOLLOWING DHR RECORDS COORDINATORS AND ALTERNATES

Change Date: 1/10/89

RECORDS COORDINATOR	RECORDS ALTERNATE	DIVISION OR OFFICE
Sandy Wagers	Hank Miles	Personnel Administration

☒ ALL DHR DIVISION / OFFICE RECORDS COORDINATORS AND ALTERNATES

FROM: DHR RECORDS MANAGEMENT SERVICES UNIT

SCHEDULE NO. 86 - 86	NOTIFICATION DATE January 10, 1989
SERIES TITLE APPLICANT / EMPLOYEE CRIMINAL RECORDS CHECK FILE	
APPROVED DATE 9/26/86	MINOR CHANGE DATE (IF APPLICABLE) 1/10/89

☒ MINOR CHANGE - SEE ATTACHED COPIES OF PRESENT AND CHANGED SCHEDULES. AREAS OF CHANGE ARE HIGHLIGHTED ON BOTH ATTACHMENTS.

☐ IGNORE ANY OTHER SCHEDULES THAT MAY BE SHOWN ON THE ABOVE ATTACHMENTS.

☐ SCHEDULE DELETION

☐ SEE ATTACHED COPY OF "RECORDS MANAGEMENT SERVICES REQUEST"

OR

☐ SEE DELETION EXPLANATION BELOW:

See attached memo from Jean Campbell dated January 5, 1989.

(cut-off changed from FY to CY/pes2/13/89)

DHR RECORDS MANAGEMENT OFFICER APPROVAL

Gerald Poe

Gerald Poe

Received and filed by: *Patricia G. Schmitt*

Date: 3/27/89

for: Georgia Department of Archives and History

RECORDS RETENTION SCHEDULE APPLICATION REVIEW

STAFF SUMMARY Application #890113-01

DATE: March 23, 1989

TO: Edward Weldon, Director

FROM: Peter E. Schinkel, Schedule Unit *PES*

RE: Dept. of Human Resources, Personnel Administration,
notification of a change to information in an
approved schedule #86-86:

"Applicant/employee criminal record check file."

RECOMMENDED ACTION: Administrative approval by the Archives.

- This change to an existing schedule does not warrant the attention, or the decision, of the State Records Committee.
- The Agency decided it was more efficient for their operations to cut this file off by calander year (CY) rather than (FY).
- The retention period is not changed.
- The change requires a change to the cut-off information in the record copy of schedule #86-86.
- The DHR Form 5080 (7-88) was developed to give trial implementation to the DRAFT "Guidelines for review of existing retention schedules," RGS, 2/10/88 (copy RG/RA staff and received no negative reviews. Minor changes suggested were made when the guidelines were revised on 2/10/88..

Approved: Edward Weldon
27 March 1989

cc: Application Security File
 Agency File
 RG Reading File
 Robert Williams, RARC
 Gerald Poe, DHR, Records Management

D R A F T RGS Form #89-4

GEORGIA DEPARTMENT OF HUMAN RESOURCES
DIVISION OF ADMINISTRATIVE SERVICES

Office of Personnel Administration
Director's Office

<u>Appl #</u>	<u>Description</u>	<u>Disposition</u>
86-86	<p>APPLICANT/EMPLOYEE CRIMINAL RECORDS CHECK FILE</p> <p>Documents relating to researching and recording criminal history of applicants and employees in classes of positions or designated positions within classes with direct care/treatment/custody responsibilities for DHR clients. These specific job classes are listed in Par. II.A.2; PART XVII. F.14; CRIMINAL INVESTIGATIONS, EMPLOYMENT VERIFICATIONS, BACKGROUND INVESTIGATIONS: of the DHR Administrative Policy and Procedures Manual.</p> <p>Included are U.S. Printing Office Form FD-258 (R.12/29/82) which records imprints of fingers for identification and analysis by the Georgia Bureau of Investigation and the Federal Bureau of Investigation. A computer printout from the Georgia Crime Information Center (GCIC) which lists the known criminal history of an individual. A memo from the Office of Personnel Administration to the DHR unit that requested the investigation, which briefly states the investigation results and if the applicant/employee has committed any criminal offense(s) which may prohibit employment in that job classification. A memo from the appointing authority to</p>	<p><u>Office of Personnel (Record Copy) Approved/Disapproved Applications</u></p> <p>Cut off file at the end of each calendar year, hold in current files area for one year, transfer to State Records Center, hold for three years, then destroy.</p> <p><u>Requesting Unit (Reference Copy) Approved Applications</u></p> <p>Place a copy of memo from Office of Personnel Administration which recommends <u>approval</u> of hiring applicant/employee in a separate unit file. Cut off at end of each calendar year, hold in current files area for four years, then destroy.</p> <p><u>Disapproved Applications</u></p> <p>Place a copy of memo from Office of Personnel Administration which recommends <u>disapproval</u> of hiring applicant/employee in a separate closed unit file. Cut off at end of each calendar year, hold in current files area for four years, then destroy.</p> <p>APPROVED: 9/26/86</p> <p>MINOR CHANGE: 1/10/89</p>

APPLICATION FOR RECORDS RETENTION SCHEDULE

**GEORGIA DEPARTMENT OF HUMAN RESOURCES
DIVISION OF ADMINISTRATIVE SERVICES
RECORDS MANAGEMENT UNIT**

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone - (404) 656-4976 GIST: 221-4983

DHR		1. GEORGIA DEPARTMENT OF HUMAN RESOURCES		ARCHIVES AND HISTORY	
Application Date 7/16/86		Division of Administrative Services Office of Personnel Administration 47 Trinity Ave., S.W. Atlanta, Georgia 30334		Application Number 86-86	
Application Number 86-9				Date Received JUL 16 1986	
2. Person to Contact Barbara Deedy Jim Jordan		Working Title Assistant Director Employee Complaint/Management Relations Coordinator		Date Completed SEP 26 1986	
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____		Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void		Telephone Number 656-6750 656-6757	
4. Dates of Series Earliest 7-1-85		5. Records Series Title (followed by title used in office; if different) Applicant/Employee Criminal Records Check File		Latest Continuing	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Administrative Services Division provides the program direction and coordination of the specialized functions which support the Department's internal operations and legal environment through the Offices of Administrative Appeals, Audits, Child Support Recovery, Financial Services, Fraud and Abuse, Personnel Administration, Regulatory Services and Support Services. The Office of Personnel Administration is responsible for implementing, managing and monitoring a fair program of personnel administration for the Department of Human Resources.					
7. Records Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: Researching and recording criminal history of applicants and employees in classes of positions or designated positions (continued as attached) Included are: a. U.S. Printing Office Form FD-258 (R.12/29/82) which records imprints of fingers for identification and analysis by the Georgia Bureau of Investigation and the Federal Bureau of Investigation. (See Attachment #2.) b. A computer printout from Georgia Crime Information Center (GCIC) which lists the known criminal history of an individual. (See Attachment #3.) c. A memo from the Office of Personnel Administration to the DHR unit that requested the investigation, which briefly states the investigation results and if the applicant/employee has committed any criminal offense(s) which may (continued) The file is arranged: Quarterly by requesting unit, then chronologically by date of approval/disapproval.					
8. Monthly Reference Rate One to six months old 6 ; Seven to twelve months old 4 ; Thirteen to twenty-four months old 1 ; twenty-five months and older 0 ?					
9. Annual Rate of Accumulation or Records Letter-size drawers 3 1/2 ; Legal-size drawers ; Shelves ; Other (Specify)					

4		If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. Rules of the GCIC Council, Section 140-2-.02 Data Security Requirements for Criminal (Continued)
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|----------------------|-----------------------------------|----------------------|
| a. State Law | _____ 4 _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ 2 _____ years. |

29CFR 1602.31

Attach copy or excerpt of laws or regulations. Explain administrative need.

Criminal records checks are required of applicants/employees in specified job classes involving the safety and well being of DHR clients. A copy of PART XVII.F.14. CRIMINAL RECORDS INVESTIGATIONS, EMPLOYMENT VERIFICATIONS, BACKGROUND INVESTIGATIONS, of the DHR Administrative Policy and Procedures Manual, is at Attachment #7. (Continued)

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

Requesting Unit (Reference Copy)

☐ Hold in the current files area _____ month(s) _____ year(s); then

☐ Transfer to local holding area; hold _____ year(s); then

☐ Transfer to State Records Center; hold _____ year(s); then

☐ Destroy

☐ Transfer to State Archives for permanent retention.

☒ Other (Specify)

Office of Personnel (Record Copy)

Approved/Disapproved Applications

Cut off file at the end of each fiscal year, hold in current files area for one year, transfer to State Records Center, hold for three years, then destroy.

Place a copy of memo from Office of Personnel Administration which recommends approval of hiring applicant/employee in a separate unit file. Cut off at end of each fiscal year, hold in current files area for four years, then destroy.

Disapproved Applications

Place a copy of memo from Office of Personnel Administration (continued)

These instructions apply to all prior and future accumulation of records for this series title.

Signature	Date	Signature	Date
DHR Office/Division — Director/Designee		DHR Records Management Supervisor	
<i>Barton B. Dean</i>	7-16-86	<i>Paul F. Murphy</i>	7/16/86
DHR Section/Unit — Chief/Supervisor/Designee		DHR Records Management	
<i>Eleanor J. Campbell</i>	7-16-86	<i>Paul F. Murphy</i>	7/16/86

STATE RECORDS COMMITTEE

Retention recommendations in paragraph 12 are approved — If not approved, please attach a letter of explanation.

Signature	Date
State Auditor/Designee	
<i>W. H. L. L. L.</i>	8-21-86
Secretary of State/Designee	
<i>Edward W. L. L.</i>	8/19/86
Attorney General/Designee	
<i>Paul F. Murphy</i>	8/24/86

7. within classes with direct care/treatment/custody responsibilities for DHR clients. These specific job classes are listed at Attachment #1 as contained in PAR. II.A.2; PART XVII. F.14; CRIMINAL INVESTIGATIONS, EMPLOYMENT VERIFICATIONS, BACKGROUND INVESTIGATIONS: of the DHR Administrative Policy and Procedures Manual.
 - c. prohibit employment in that job classification. (See Attachment #4)
 - d. A memo from the appointing authority to an employee who has been hired pending results of the criminal records check. The memo terminates a working test employee predicated on the information received from GCIC on his arrests and convictions. (See Attachment #5)
 - e. Also included may be supporting information from other law enforcement agencies and related correspondence.
10. b. Justice Information. (See Attachment #6) *of corresponding log.*
11. Rules of the GCIC Council require four year retention (See Attachment #6, page 21)
12. which recommends disapproval of hiring applicant/employee in a separate, closed unit file. Cut off at end of each fiscal year, hold in current files area for four years, then destroy.

Office of Personnel Administration
Director's Office

Appl #

Description

Disposition

86-86

**APPLICANT/EMPLOYEE CRIMINAL
RECORDS CHECK FILE**

Documents relating to researching and recording criminal history of applicants and employees in classes of positions or designated positions within classes with direct care/treatment/custody responsibilities for DHR clients. These specific job classes are listed in PAR. II.A.2; PART XVII. F.14; CRIMINAL INVESTIGATIONS, EMPLOYMENT VERIFICATIONS, BACKGROUND INVESTIGATIONS: of the DHR Administrative Policy and Procedures Manual.

Included are U.S. Printing Office Form FD-258 (R.12/29/82) which records imprints of fingers for identification and analysis by the Georgia Bureau of Investigation and the Federal Bureau of Investigation. A computer printout from the Georgia Crime Information Center (GCIC) which lists the known criminal history of an individual. A memo from the Office of Personnel Administration to the DHR unit that requested the investigation, which briefly states the investigation results and if the applicant/employee has committed any criminal offense(s) which may prohibit employment in that job classification. A memo from the appointing authority to an employee who has been hired pending results of the criminal records check. The memo terminates a working test employee predicated on the information received from GCIC on his arrests and convictions. Also included may be supporting information from other law enforcement agencies and related correspondence.

File is arranged quarterly by requesting unit, then chronologically by date of approval/disapproval.

Office of Personnel (Record Copy)
Approved/ Disapproved Applications

Cut off file at the end of each fiscal year, hold in current files area for one year, transfer to State Records Center, hold for three years, then destroy.

Requesting Unit (Reference Copy)
Approved Applications

Place a copy of memo from Office of Personnel Administration which recommends approval of hiring applicant/employee in a separate unit file. Cut off at end of each fiscal year, hold in current files area for four years, then destroy.

Disapproved Applications

Place a copy of memo from Office of Personnel Administration which recommends disapproval of hiring applicant/ employee in a separate closed unit file. Cut off at end of each fiscal year, hold in current files area for four years, then destroy.

APPROVED: 9/26/86

ATTACHMENT # 1

II-F-6

GEORGIA DEPARTMENT OF HUMAN RESOURCES
DIVISION OF ADMINISTRATIVE SERVICES

Office of Personnel Administration
Director's Office

<u>Appl #</u>	<u>Description</u>	<u>Disposition</u>
86-86 (cont.)	<p>an employee who has been hired pending results of the criminal records check. The memo terminates a working test employee predicated on the information received from GCIC on his arrests and convictions. Also included may be supporting information from other law enforcement agencies and related correspondence.</p> <p>File is arranged quarterly by requesting unit, then chronologically by date of approval/disapproval.</p>	